

## FORMALITIES LETTER

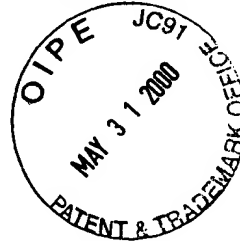


\*OC000000005104320\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/516,792	03/01/2000	Steven H. M. Wallman	10392/46701

Kenyon & Kenyon  
1500 K Street N W  
Suite 700  
Washington, DC 20005-1257



Date Mailed: 05/09/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$2220.
  - \$1206 for 67 total claims over 20.
  - \$1014 for 13 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 3040.

*A copy of this notice MUST be returned with the reply.*

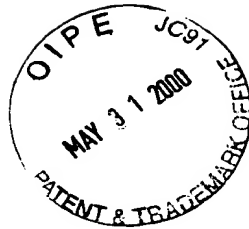
*OK T-6*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/01/2000 MMARMOL 00000117 110600 09516792

01 FC:201	345.00 CH
02 FC:205	65.00 CH
03 FC:203	603.00 CH
04 FC:202	507.00 CH



Docket No. 10392-46701

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor: Steven M. H. WALLMAN

Serial No.: 09/516,792

Filing Date: March 1, 2000

For: METHOD AND APPARATUS  
FOR TRADING SECURITIES OR  
OTHER INSTRUMENTS ON  
BEHALF OF CUSTOMERS

Art Unit: 2768

Examiner: Unassigned

COMMISSIONER  
FOR PATENTS  
Washington, DC 20231

**ATTENTION: BOX MISSING PARTS**

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF  
NON PROVISIONAL APPLICATION**

Sir:

Responsive to the "Notice to File Missing Parts of Nonprovisional Application", mailed in the above-cited application on May 9, 2000, Applicant encloses an Executed Declaration and Power of Attorney duly signed by the inventor and a Statement Claiming Small Entity Status.

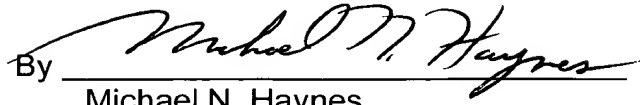
Please charge Deposit Account No. 11-0600 in the amount of \$1520.00 representing the fees set forth in 37 C.F.R. §1.17(h). A copy of this response is enclosed for that purpose.

In addition, Applicant encloses an executed Assignment document, with an Assignment Recordation Form 1595 and authorization to charge the requisite fee of \$40.00 to Deposit Account No. 11-0600.

Docket No. 10349/46701  
Serial No. 09/516,792

Respectfully submitted,

Date 31 MAY 2000

By   
Michael N. Haynes  
Reg. No. 40,014

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